State of Florida
Department of Transportation

STERLING QUALITY CHALLENGE

Self Assessment Report 1997

605 Suwannee Street

Tallahassee, FL 32399-0450

BUSINESS OVERVIEW

1.0 DESCRIPTION OF THE ORGANIZATION
a) Nature of Business, Products, Services, Size

The Florida Department of Transportation (FDOT) is as diverse as the communities it serves. FDOT's responsibilities impact nearly every facet of transportation from highways to railways, airports to seaports. The Agency's mission is ***to provide a safe, interconnected statewide transportation system for Florida's citizens and visitors that ensures the mobility of people and goods while enhancing economic prosperity and sustaining the quality of our environment.***

The statewide transportation system includes highways (38,789 lane miles) and bridges (6,199), aviation facilities (760), seaports (14), railways (2,988 miles), bus systems (25), bicycle and pedestrian facilities, as well as highway rest areas. FDOT also is heavily involved in ensuring the safety of the statewide transportation system. FDOT enforces safety regulations through the inspection of trucks, buses, fixed guideway, rail cars and tracks, airport locations and various operating practices of transportation providers.

Today, FDOT employs more than 10,000 personnel statewide and manages a $3.5 billion budget. The Agency is committed to maintaining the delicate balance between mobility and preservation. FDOT also is responsible for moving people along quickly and efficiently using the latest technology, while minimizing disruption to the state's sensitive environment. This can be achieved only with a highly skilled, highly motivated workforce.

FDOT is a decentralized agency, with its Central Office, located in Tallahassee, responsible for policy, procedure, training, technical assistance, and quality assurance. FDOT's eight district offices are responsible for building and maintaining the transportation system. The districts are each led by a District Secretary and, in general, each has major divisions for Administration, Planning and Programming (by law), Production and Operations as well as a Public Information Office and General Counsel's Office.

FDOT is a trust funded state agency operated primarily from user fees such as highway fuel taxes, motor vehicle license fees, and aviation fuel taxes. These monies, which are deposited into the State Transportation Trust Fund (STTF), are spent (along with federal funds) primarily on the department's work program for the construction of roads, bridges and public transportation systems. State law requires the department to develop a five year work program, which is the Agency's commitment to the public to build specific projects during that time period.

Florida's transportation system is much more than just roads and bridges. Although highways will remain the backbone of the system, highways alone cannot meet our present and future mobility needs. Transportation alternatives must be provided. Nearly fifteen percent of state transportation funds are devoted to public transportation. FDOT's job is to move people and goods, not just vehicles. A high quality, highly efficient transportation network is essential for Florida to remain competitive in the world market.

b) Special Relationships

Decentralization enhances local governments and Metropolitan Planning Organizations (MPOs) direct input into agency planning, including prioritization of projects. Coordination with local agencies is essential for the department to achieve its mission of an interconnected statewide system. FDOT's system must tie into those provided by the cities, counties and adjoining states.

Other special relationships and partnerships include Community Traffic Safety Teams (CTSTs) and Freeway Incident Management Teams (FIMTs). CTSTs consist of local agency representatives such as traffic engineers, safety officials, education officials, local media, enforcement agencies, emergency medical providers and community volunteers working together to address community highway safety and traffic related problems. There are 35 active teams statewide.

The FIMT program goal is to develop strategies and improve communication in order to respond to incidents on the highway system. Teams include FDOT's traffic engineer and local fire, police, medical, environmental and wrecker service representatives.

As grant program managers, FDOT personnel provide technical support and training on a variety of transportation issues. FDOT is represented on a number of state and federal committees, task forces, councils, etc., promoting various transportation programs and projects and providing valuable insight to other states on Florida's experiences.

c) Employee Base

Figures 1.1a and 1.1b break out FDOT employment

figures by organizational entity and by organizational level respectively.

Figure 1.1a DOT POSITION BREAKDOWN

BUDGET ENTITY	POSITIONS
Finance & Administration	619
Toll Operations	1135
Planning & Engineering	1201
Turnpike	174
District Administration	466
District Operations	6837
TOTAL	**10,432**

Figure 1.1b DOT EMPLOYEE BREAKDOWN

Total Employees	9,799
Total Career Service Employees	9,502
Total SES/SMS* Employees	293
(3% of total)	
Total Minority Employees	2,733
(28% of total)	
Total Female Employees	3,256
(33% of total)	
Total minority SES/SMS Employees	41
(14% of total)	
Total SES/SMS Females	77
(26% of total)	

*SES: Select Exempt Service
*SMS: Senior Management Service

d) Equipment, Facilities and Technology

The Agency owns more than 7,500 pieces of equipment used for routine maintenance, materials testing, construction inspection and basic motor pool needs.

FDOT has eight district offices, one central office and five urban offices, along with 28 area construction offices and 67 area maintenance offices ("yards ").

Major technologies used by the Agency include a statewide Wide Area Network, linking all state offices by e-mail; Computer Aided Drafting and Design (CADD), Geographic Information System (GIS), Intelligent Transportation Systems (ITS), and office automation. Implementation of an electronic toll collection system (Sunpass) also is underway.

2.0 CUSTOMER REQUIREMENTS

FDOT 's customers are the users of the transportation system which includes motorists, public transportation riders (buses and rail systems), airline passengers, ship passengers, cyclists, pedestrians, and movers of goods such as truckers, cargo ships, air freight and railroads.

FDOT 's customers require quick, safe, convenient travel delivered with aesthetic appeal and environmental sensitivity. This involves protection and enhancement of cultural resources, air and water quality, wildlife, and other important resources.

3.0 SUPPLIER AND PARTNERING RELATIONSHIPS

a) Types and Number of Suppliers

FDOT deals primarily with three major suppliers of goods and services:

1) Contractors, who construct and maintain transportation facilities. The Agency has prequalified 450 contractors.
2) Consultants, who contract for engineering, architecture, surveying, special grant project, mapping, planning, appraising and design projects. FDOT has 588 prequalified consultants.
3) Vendors, who provide other goods or services. The Agency deals with 10,500 firms in this category.

Minority Business Enterprises (MBEs) and Disadvantaged Business Enterprises (DBEs) are important suppliers. Together these industry segments provide the opportunity to acquire services and commodities with small and minority businesses. FDOT consistently exceeds statutory contracting goals for the DBE and MBE programs, contracting with DBE 's for $229,641,540 in the federal fiscal year ending September 1997 and with MBE 's for $30,103,077 during the state fiscal year ending June 30, 1997.

FDOT has privatized approximately 50% of the planning effort, 75% of design work, 100% of construction and 70% of maintenance activities.

b) Limitations and Special Relationships

FDOT works with several cross functional teams (consultants and contractors) in order to improve working relationships and the quality of products and services.

The Office of Public Transportation has a number of unique relationships and partnerships with local governments, federal agencies, other state agencies, statewide associations and organizations

and the private sector. These relationships focus on team building, information sharing and developing a unified approach to addressing local, state and regional transportation issues.

4.0 COMPETITIVE FACTORS

a) Position in Industry, Numbers and Types of Competitors

While all government agencies face the possibility of privatization as direct competition, bench marking or comparisons must be based on similar organizations, specifically other state transportation or highway agencies in this country.

b) Competitive Success Factor

Sharing of innovation and major productivity improvements occurs through national organizations such as the American Association of State Highway and Transportation Officials (AASHTO), the Strategic Highway Research Program (SHRP) and the Transportation Research Board (TRB).

FDOT is recognized as a leader in value engineering, alternative construction practices, project development, public involvement, environmental management, work program development, financial administration, DBE contracting, and equal opportunity employment..

c) Changes Taking Place

Changes in federal funds distribution, increased emphasis on alternative transportation modes, enhanced environmental regulations, and demographic changes in population distribution and age within this country will affect all states.

5.0 OTHER FACTORS

Major new thrusts for FDOT involve greater emphasis in planning and funding transportation modes other than highways. Allocation trends in the Agency's budget demonstrate the increasing percentage of funds programmed for aviation, surface transit projects and seaports..

Most significant of this increased multi-modal involvement is the Agency's partnering with the Florida Overland eXpress Company (FOX). This public/private partnership currently is planning a high speed rail link connecting Miami, Orlando and Tampa. FDOT has pledged funding for construction of this new rail system at $70 million annually escalated at 4% starting in 2001/2002. The high speed rail is the most advanced technology and represents a new thrust for Florida transportation.

Multiple uses of the ITS and GIS technologies are changing the way in which FDOT conducts its business and serves its customers. The Sunpass electronic toll collection system is another technology being implemented to better serve toll paying customers.

Funding limits the extent to which FDOT can meet the transportation needs generated by a rapidly growing population. Revenues are dictated by federal and state legislation establishing funding levels and distribution of fuel taxes. Current studies indicate Florida's projected transportation needs exceed revenues by billions of dollars over the next 20 years.

A major challenge to FDOT will be weaning Floridians and visitors from dependence on the automobile, particularly the automobile occupied by only one rider. In this the Agency faces a unique challenge totally dissimilar from that of private organizations which seek to develop increased use of products for customers. FDOT must convince its customers of the critical importance of adapting to other products such as shared occupancy of private automobiles and use of fixed rail systems, and then provide the facilities and services which will reward customers 'changed behaviors.

FDOT also is playing a critical role in meeting environmental challenges associated with use of waste products. These challenges have made recycling a top environmental priority of the Agency.

FDOT is a recognized leader in the recycling of asphalt pavement which is a two part process of removal of substandard, deficient old asphalt pavement and reuse of the reclaimed asphalt pavement (RAP) as a component in a new asphalt mix meeting today's standards. This recycling process results in improved pavement performance by reducing reflective cracking and savings in energy and raw materials.

FDOT began recycling asphalt pavement in 1979 and it became the standard method of pavement rehabilitation in 1983. Annually the Agency uses about 2 million tons of asphalt mix which contains RAP with an annual materials savings of more then 11 million gallons of asphalt cement and more than 800,000 tons of aggregate. This results in an annual savings or stretching of transportation construction funds by $15 million.

As of January 1, 1994, FDOT implemented

specifications for use of ground tire rubber as an additive for improved durability and pavement life of asphalt friction courses. The recycled tire rubber also is used in appropriate locations beneath the road as an Asphalt Rubber Membrane Interlayer, helping prevent the spread of cracking and serving as a moisture barrier.

FDOT estimates it can use approximately 25% of the waste tires generated each year in Florida in asphalt pavement applications. An estimated 8,000 to 10,000 tons of recycled tire rubber are used annually for asphalt pavement. This represents approximately 1,600,000 to 2,000,000 waste tires annually.

FDOT's use of recycled products extends to recycled plastic fence posts, delineator posts, reinforcing steel supports and guardrail blockouts. The Agency also has found application for waste products such as fly ash, slag and silica fume in concrete. Recycled aggregates from Portland Cement concrete pavements are used in asphalt and concrete pavements.

Continuing challenges for FDOT include linking the state transportation system to complement and augment local (city and county) transportation systems, prioritizing inadequate funds to optimize services, meeting the special needs of an aging population and the millions of visitors to the state, while protecting the fragile environment which attracts both residents and visitors to Florida.

Category 1 - Leadership

1.1 LEADERSHIP SYSTEM

a) What are the values, expectations, and longer-term directions promoted by our senior leaders?

FDOT's senior leaders promote the following values: hard work, quality, teamwork, honesty, loyalty, and accountability. Senior leaders expect employees to adhere to the Agency's values, do the job right the first time, work in an efficient and effective manner, and provide quality customer service. Additional expectations include meeting all of the Department's commitments to its customers.

Longer-term directions are promoted by Senior Leaders in the 2020 Florida Transportation Plan and the Mission Statement.

b) How do the leaders at all levels communicate and reinforce values, expectations, and longer-term directions to all employees?

Values are communicated and reinforced through FDOT's Mission Statement and its "Orientation to Quality" training. Other methods of reinforcement are articles in ***T-News***, the statewide Agency news publication, ***Focus on Quality*** and other District and Central Office newsletters (such as ***News at 6*** and ***EnviroNews***), periodic administrative council meetings (central office and each district) and staff meetings.

FDOT communicates expectations through written policies, rules, procedures, and directives. Information from the Executive Committee, led by the Secretary and composed of the top Central Office executives and the District Secretaries, also is passed down through the levels of the organization at district level and statewide meetings. Expectations are reinforced through training, coaching, rewards, organizational circulars such as ***T-News*** and ***Focus on Quality***, Conduct Standards and Disciplinary Actions, verbal communication, Quality Assurance Reviews (QAR's) and safety meetings. In addition, annual performance standards and expectations are communicated to each employee by the Review and Performance Planning (RAPP) procedures.

Longer-term directions are outlined in the 2020 Florida Transportation Plan and communicated internally through memoranda, newsletters, and electronic mail. Information is disseminated through the levels of supervision via meetings and verbal communication.

c) How do our leaders promote a focus on our customers?

FDOT leaders promote a focus on customers through proactive planning. The Agency offers training in customer service, has written procedures for customer service, and prints commendation letters from the public in agency newsletters. In addition, FDOT provides written and verbal reinforcement about the importance of customer service, particularly to new employees during New Employee Orientations. Information is provided to the public through the FDOT's Public Information Offices, public hearings, posting construction areas in newspapers, and broadcasting construction information on the radio and over the Internet for major construction projects.

The Agency responds to public concerns through Community Traffic Safety Teams (CTSTs), soliciting public input, and making sure someone is always available to the public. The Secretary of Transportation requires all correspondence receive a timely and precise response. All responses are due within two weeks unless otherwise specified.

d) How do all levels of supervision enable employees to continuously learn and improve?

The Agency's supervisors support the comprehensive training implementation plans for development of all levels of employees. Supervisors develop Individual Training Plans (ITPs) for employees on an annual basis as part of the Agency's required Review and Performance Planning (RAPP) process. The available courses and training seminars vary across a broad spectrum of specialties.

In addition, the Agency facilitates the employees 'educational development by providing flexible work schedule opportunities and educational leave. These opportunities demonstrate the Agency's commitment to continued education and professional development.

e) How do our leaders track progress of the things that are important to the organization?

The leaders use a wide variety of reports to track progress of the things that are important to the Agency. Much of this information is presented to the Executive Committee at the monthly Executive Committee Workshop and the monthly Executive Committee Meeting. At these meetings progress is reviewed and policy is set to guide the Agency's activities.

Internal feedback received outside the

Executive Committee meetings includes Quality Assurance Reviews (QAR ŝ), district status reports, roadway and bridge condition surveys, audits, and budget reports.

FDOT also receives feedback from outside sources, including the Governor ŝ Office, the Legislature, the Transportation Commission, the media, the Office of Program Policy Analysis and Government Accountability (OPPAGA), the Metropolitan Planning Organizations (MPOs), local government officials, and citizens.

f) What methods do senior leaders use to ensure their effectiveness in leading the organization?

The 2020 FTP identifies goals which are measurable and are used to determine the long term effectiveness of the organization. FDOT ŝ senior leaders measure their effectiveness in leading the organization by monitoring the development and implementation of the Five Year Work Program which contains the products and services necessary to meet the goals of the 2020 Florida Transportation Plan (FTP). Primarily the Agency ŝ senior leaders focus on the annual Work Program.

Senior leaders meet monthly as a committee (Executive Committee) to evaluate the Agency ŝ progress in meeting its production goals and to respond to other important issues. The District Secretaries, who are members of the Executive Committee, meet with their District Directors and Department Heads to ensure information important to FDOT ŝ mission is collected. The culmination of the Agency ŝ effort is provided in an annual report to the Florida Transportation Commission and the Florida Legislature.

Additionally, senior leaders use training. The Agency has set a goal that all Senior Managers and Select Exempt Department Heads should attend the American Association of State Highway Transportation Officials (AASHTO) Leadership Academy. This is an intense 10 day course which promotes progressive management practices. All Agency supervisors, including senior leaders, also must take required classes in performance evaluations, hiring, interviewing, and discipline administration. Other methods include individual performance appraisals, feedback from supervisors and peers, the Florida Transportation Commission, the media and elected officials. In addition, senior leaders review daily newspaper articles pertaining to the Agency and the Ombudsman column published monthly in the agency ŝ newsletter, ***T-News***.

1.2 ORGANIZATIONAL RESPONSIBILITY AND CITIZENSHIP

a) What demonstrates our organization ŝ commitment to its public responsibilities and community involvement?

FDOT demonstrates commitment to its public responsibilities and community involvement by engaging in multiple proactive operations which are designed to assess, anticipate and manage the effects it has on society. One of the Agency ŝ approaches to support the commitment to its public responsibility and community involvement is through public hearings and forums held to disseminate information and obtain feedback. Additionally, regular meetings are scheduled with the Regional Planning Councils, MPO ŝ, and the Florida Transportation Commission. The Department also closely interacts with the Metropolitan Planning Organization Advisory Council and staff. The MPOAC is comprised of all of Florida ŝ 25 MPOs. FDOT is responsive to the concerns and suggestions of both governmental officials and the public. The Public Information Offices and the correspondence systems support these commitments.

The Agency ŝ commitment to support and enhance Florida ŝ communities are demonstrated by employees who actively offer their personal resources to activities such as community blood drives, the Florida State Employees Charitable Campaign, and events such as career days, on FDOT time and many times on FDOT property. In addition, the Agency coordinates disaster response teams, FDOT safety awareness displays and teams, environmental support programs such as statewide recycling, the Adopt-a-Highway Program and Highway Beautification efforts. FDOT also attends to the safety of its communities by offering highway service patrols and emergency call boxes.

How does the organization address the current and potential impacts on society of its products, services, facilities, and operations?

The primary method the Agency uses to address impacts of its products and services on society is a process which evaluates the social, environmental and economic impacts of all FDOT undertakings. This process involves analyses of alternative transportation system improvements, seeking first to avoid adverse impacts, and, if unavoidable, to mitigate for them. Examples of mitigation measures include wetland enhancement

and creation, wildlife crossings, landscaping, and noise barriers. Coordination with environmental, permitting, and local agencies is an important aspect of addressing impacts along with feedback from local agencies such as MPO's and the public as a whole.

FDOT also supports programs such as high speed rail, commuter rail, public transit, ride-sharing, Transportation Disadvantaged Program and Transportation Demand Management (TDM) which potentially minimize impacts, as well as Adopt-a-Highway programs. Research into areas such as Intelligent Transportation Systems (ITS) is conducted to develop cost effective methods of improving the transportation system. Coordination through professional and technical organizations and other transportation agencies allows FDOT to learn from others' experiences and to become aware of innovative techniques which could be applied to Florida's transportation system.

FDOT also uses survey comment cards at rest areas maintained by the organization and by holding public hearings and meetings to solicit community involvement. During construction, alternative contracting methods -- such as offering contractor bonuses for early completion, lane closure policies, maintenance of traffic plans, and requirements for night work -- are used to minimize impacts to the public.

FDOT seeks continuous process improvements through quality management techniques, such as post-construction reviews, task teams, and QAR's.

Category 2 - Strategic Planning

2.1 STRATEGIC DEVELOPMENT PROCESS

a) What process does the organization use to develop strategies?

The highest order of strategic direction is FDOT's **Mission Statement**. Developed by Senior Leaders based on Florida Statutes which establish the Agency and define its purpose, the Mission Statement provided guidance in 1994 when the Department undertook an extensive process to involve its customers, suppliers and partners in the development of a set of strategic goals.

The Florida Transportation Commission (FTC), a policy and oversight body created by Section 20.23, F.S., was the first to be consulted in this process. A workshop session with the FTC focused on the Agency's mission statement and eight general discussion topics. The FTC workshop was followed by a statewide public involvement effort which included more than 70 separate public events held in 33 Florida cities. These included workshops, focus groups, technical brainstorming sessions, transportation fairs and shopping mall exhibits. This statewide effort to obtain public input reached more than 2,000 Florida citizens and visitors. Each participant was asked to complete a meeting survey so the perceived quality of the public involvement effort could be assessed and opportunities for improvement identified.

Results of the public involvement effort were then the subject of a two-day statewide consensus building workshop. A variety of decision makers from all levels of government and specific interest groups assisted FDOT staff in reviewing and integrating the varying regional and statewide issues, developing a framework for the 2020 Florida Transportation Plan (2020 FTP), and identifying its elements. This became the foundation of the first draft of the FTP, circulated widely throughout the state, and presented in public hearings concurrent with the Agency's annual work program. Revisions were based on input from these public hearings and from many who participated in the original public meetings statewide. The final 2020 FTP was adopted in March of 1995.

The FTP is the key strategic planning document driving policy development, but it is only part of a larger process. The five steps of the statewide policy planning process used in developing, deploying and implementing policy and action plans are:

1) establish future direction;
2) develop the FTP;
3) develop regional and local plans;
4) adopt programs and budgets; and
5) provide facilities and services.

The FTP establishes four broad goals based on the data gathered during its development. The Short Range Component (SRC) establishes specific measurable objectives for each goal and a series of strategies to accomplish each objective.

b) How do our strategies take into account: 1) customers; 2) market requirements; 3) competition; 4) business risk; 5) suppliers; 6) employee capabilities; and 7) technology?

The FTP process described above was explicitly designed to provide direct input from FDOT's partners, customers and suppliers, assess business risks and identify market opportunities.

Participants who spoke in these public involvement meetings were primary customers. Suppliers such as planning and engineering consultants, construction companies, purveyors of advanced technology, and other vendors were in attendance as well. FDOT's other partners were represented by managers from local government agencies, other state agencies and elected officials.

The Agency's business risks were identified. An example is the Agency's substantial financial commitment to the development of high speed rail, while acknowledging the importance of balancing preservation of Florida's existing roadway system with development of both new highway capacity and investment in public transportation. Still other meeting participants helped to define market requirements by proposing alternative methods of serving customers and identifying specific objections to proposed projects.

c) How are strategies converted into actions (action plan) or work requirements?

The 2020 FTP will be revised at least every five years, using a similar format for public involvement. The SRC, which is the most responsive and specific of FDOT's strategic planning documents, is updated annually by the agency's planning staff. The SRC annual update includes formal input from the MPOs and local governments. These strategic documents serve as the foundation for development of FDOT's action plans - the **Program and Resource Plan**, **Five Year Work Program** and **Annual Budget**. The Program and Resource Plan identifies resources available to accomplish the Agency's mission and sets targets for the application of these resources within broad categories. These broad categories include:

* Product, usually a transportation system improvement or capacity expansion project,

* Product support, those activities such as design or right-of-way acquisition which are necessary to produce a product,

* Operation and maintenance, which preserves the existing system and provides for its day-to-day use by customers, and

* Administration and fixed capital outlay, which addresses overall management functions, physical plant needs, and acquisition of other high cost durable goods.

Each of these targets is identified with a specific resource goal from the 2020 FTP and with specific strategies from the SRC, and thus the flow from strategic plan to action plan is maintained through the Program and Resource Plan to the Five Year Work Program and the Annual Budget.

The Five Year Work Program is a list of specific projects to which identified resources have been committed and for which a schedule of activities has been established. This is the final level of action plan for the product category, much of the product support category, and includes projects which fall into the maintenance and operation category. The annual budget, which allocates the resources associated with identified projects and supports activities performed directly by Agency staff, is the other component of the action plan. The budget, like the work program, is driven by the goals and strategies established in the 2020 FTP and the SRC.

2.2 ORGANIZATIONAL STRATEGY

a) How do our action plans and work requirements tie (align) with our strategic goals and measures?

The 2020 FTP documents Florida's long and short range transportation goals and objectives within the context of the State Comprehensive Plan. The 2020 FTP defines the relationship between established long range goals and the short range objectives against which the achievement of goals will be measured. The 2020 FTP sets the direction for Florida's 21st century transportation system by providing the policy framework for FDOT's program and resource plan, legislative budget request, strategic information resource management plan, and the work program. The FTP links Florida's transportation goals and objectives with the Agency's budget and work program.

The SRC includes the goals, objectives and strategies which provide guidance to more specific documents identified as FDOT's 'action plans'. These 'action plans' are driven by the 2020 FTP and include the Program and Resource Plan, the Five-Year Work Program and the Annual Budget. Together, these systems assure that the transportation facilities and services essential to the Agency's goals of safety, preservation, interconnectivity and travel choices are delivered in a timely manner.

The ten year Program and Resource Plan, which is reviewed annually by the Executive Committee, establishes the framework for development of the Five-Year Work Program. The plan anticipates revenues and establishes targets, serving as a bridge between the statewide goals and objectives in the 2020 FTP, SRC, and the specific

projects and services to be provided.

The Five-Year Work Program tracks the funding and the individual activities programmed to ensure FDOT is meeting targets defined in the Program and Resource Plan. For example, if Short Range Objective 2.1 from the SRC ("…ensure that 80 percent of the pavement on the State Highway System is in acceptable condition.") is to be accomplished, then the Five Year Work Program must reflect projects which implement the strategy to "…resurface 2,200 lane miles annually…"

The Work Program Administration system (WPA), a mainframe computer database, is in place to track projects and assure the Five-Year Work Program is accomplished. This Five-Year Work Program process is monitored monthly at a statewide production meeting and on an annual basis by the Florida Transportation Commission. This monitoring effort includes both the activities of the Five Year Work Program and the Performance measures, such as 80 percent of the pavements being in acceptable condition.

The annual budget authorizes FDOT to use specific financial resources to meet targets outlined in the Program and Resource plan and undertake specific projects funded in the 5-year Work Program. The role of the Annual Budget is to assure enough financial resources are allocated for projects and an operating budget to carry out the first year of the Five-Year Work Program. The budget is approved annually by the Legislature and the Governor.

A second mainframe computer database -- the State Automated Management Accounting Sub-system (SAMAS), assures that only funds included in the adopted budget are expended. Reports are available using data from both WPA and SAMAS to assist FDOT staff in assuring that the budget and the Five Year Work Program are coordinated.

b) What measures are used to assess progress against those action plans?

FDOT's senior leaders meet monthly to review progress toward the Agency's goals by comparing established project implementation schedules with actual progress as a measure of schedule adherence. Budgeted amounts for each project phase are compared to actual expenditures to measure budget performance. These monthly meetings are internal management functions.

FDOT has developed seven maintenance and monitoring systems to evaluate safety, pavement, bridges, congestion, public transportation, intermodal facilities and traffic monitoring. Data collected from these systems assist decision makers in measuring the performance of the transportation system.

Quarterly and annual progress reports of FDOT's performance are submitted to the FTC, which reviews these reports and provides another perspective - that of a private sector and citizen oversight group - which FDOT leadership uses to further assess and improve performance. The review considers performance measures established jointly by the Agency and the FTC. The measures include four criteria to evaluate cost efficient and effective business practices in production areas, five criteria to evaluate cost efficient and effective business practices in finance and administration, four criteria measuring cost saving initiatives, four criteria evaluating preservation of highway facilities, two criteria evaluating capacity improvements, the minority business program, safety initiatives and a customer service survey. The FTC also submits the Performance and Production Review of the Florida Department of Transportation Report to the Florida Legislature at the end of each fiscal year.

c) What are our longer-term projections of those measures?

Because FDOT operates on a cash flow, rather than encumbrance basis, it is essential that long range forecasting of revenues and expenditures be accurate. FDOT has a five year cash forecasting system, designed to maximize use of future revenue while maintaining the legally required minimum cash balance. While in the private sector, a one year variance of 10 percent is considered accurate, FDOT in 1996-97 had a variance of 0.1 percent in forecasting revenue and 0.3 percent variance in forecasting disbursements.

Longer range revenue forecasts indicate Florida's transportation needs for the Florida Intrastate Highway System (FIHS), a regional network of key arterial and Interstate highways, will not be met. Needs are estimated at $28.6 billion and revenues projected at only $6.6 billion through year 2010.

Pavement resurfacing needs are projected on a 10 year basis, with the projection updated annually.

d) How do the projections of those measures compare to our competitors or similar providers?

There is no comparable entity providing a transportation system to Florida residents and

visitors. Therefore, measures of performance within the agency over time are emphasized. The measures of performance against established objectives are also used to compare current performance against historical performance.

The Agency does have competition, but not in the traditional sense. One such example is competition for funding. The State Transportation Trust Fund (STTF) is the primary source of FDOT's state funds. Each year, during the legislative session, competing interest groups attempt to divert money from the STTF to non-transportation purposes. Planning the Agency's work in accordance with the Strategic Plan, monitoring its implementation for compliance with schedule, budget, established performance standards, and demonstrating the quality of work through the QA/QC process allows FDOT to address this competition effectively and support its requests for additional positions.

The Agency competes with other state DOT's for federal funds earmarked for demonstrating innovative practices and attempts to maximize Florida's federal funding levels. For example, FDOT recently succeeded in competing with other states to obtain federal funding of Florida's innovative State Infrastructure Bank project.

Comparisons of performance among state transportation agencies are of questionable validity due to the widely varying legal and environmental conditions found in different states. However, when AASHTO benchmarks for construction project cost and schedule are applied, Florida's performance is above average.

Comparison of similar functions performed by the Agency (e.g., payroll, purchasing, or document reproduction) with those same functions performed by agencies which have different overall missions was identified as another way to measure against competition. However, no examples of such comparative measures were identified.

e) What are our human resource plans derived from? Describe strategies as they relate to: 1) changes in work requirements; 2) employee development, education, and training; 3) market requirements; 4) changes in compensation, recognition, and benefits; and 5) recruitment?

Just as the FTP and its SRC establish the strategic direction for FDOT's project and budget actions, these documents also drive the Agency's allocation of human resources in and among districts. FDOT's action plan, the Five-Year Work Program, and the operating budget, identify both the quantity of work and its location. These strategic and action plans drive the more detailed decisions necessary to deploy human resources appropriately to accomplish programmed activities.

FDOT's role in accomplishing its work has changed in the recent past, moving steadily from doing work directly to overseeing work. This shift toward privatization requires Agency employees to acquire new skills as contract managers and inspectors rather than hands-on workers. FDOT's Human Resources Program supports the acquisition of new skills through an extensive training program.

In 1995, FDOT implemented a pilot classification system, described in detail in Category 5. With this system, managers can more readily develop work and job systems as demanded by changing technology and market requirements. Each individual position is defined by a unique set of knowledge, skill, and ability requirements. This allows managers to "custom tailor" hiring to changes in work and market.

The Annual Training Plan (ATP) identifies more than 880 training classes statewide for Agency employees. In addition, management frequently contracts for training to meet specific certification requirements or other relevant training needs. Each employee, in consultation with the supervisor, prepares an annual Individual Training Plan (ITP). The ITP identifies specific training, catalogued in the ATP, which the worker and the manager agree will prepare the worker for changing work requirements and market conditions.

FDOT has an established procedure to address changes in compensation. Employees base rate of pay may be adjusted under several defined circumstances. One time bonuses are available for special projects, continuous service, safety, education, or productivity. Department benefits include contributions to health insurance, paid holidays, deferred compensation, credit unions and group rates for health and life insurance.

FDOT has an extensive recognition and compensation program (described in detail in Category 5), designed to reward employee contributions to the Agency's mission.

Recruitment activities include publication of the specific knowledge, skill and ability requirements established for the available position. Promotion of existing employees is encouraged by policy and procedure. For "hard to fill" positions, innovative

advertising, geographic targeting or special recruitment techniques are employed.

Category 3 - Customer and Market Knowledge

FDOT's transportation system exists to satisfy the travel needs of customers. Understanding both the long term and immediate needs of customers is critical to the future development of Florida's transportation system. These customers range from individual transportation system users -- such as motorists, bicyclists, and pedestrians -- to groups including transit, ports, airports, and rail. They all are represented by user groups including local governments, MPOs and others. FDOT's ability to provide safe transportation services while satisfying customers needs continues to be a major goal of the Agency.

3.1 CUSTOMER AND MARKET KNOWLEDGE

a) How does our organization determine customer needs and potential customer needs?

FDOT uses a variety of processes to determine customer needs. The Florida Transportation Plan (FTP) is a 25-year blueprint for the transportation system of the future. Customer input to the FTP was obtained as previously explained in Category 2.

The work program is project-specific and addresses near term (5 year) needs. Project priorities come from a variety of sources representing many customer groups. Local needs are based on customer desires received through MPOs, CTSTs, local government representatives, and input at public workshops. FDOT also has many internal management systems based on data collection, field surveys, established criteria, and statutory requirements to determine anticipated customer needs and expectations such as Pavement Management System and Skid Hazard Reporting System. The work program is developed annually, based on these priorities, and identifies specific projects involving all modes of transportation. These project priorities must balance customer requests, system preservation needs, and available financial resources. Through public hearings, the Agency receives feedback on the work program. The Agency continues to improve its public involvement process by going beyond the legal requirements for obtaining input.

Subsequently, needs addressed in the Agency's work program move into the Project Development and Environmental phase, which has been the major source of public input for years. Historically, this has been the starting point for customer interaction on individual projects. Key focus points for public involvement include various agency and group contacts, public hearings, neighborhood meetings, focus groups, and direct mailings.

The next phase is Design, where customer input was historically minimal. However, FDOT has recently implemented the Community Awareness Plan (CAP) which involves the customer from the planning throughout the construction of a project. CAP provides for notification to affected parties of future construction projects. In addition, it allows the Agency to resolve controversial issues in this early phase. Examples of these issues include: access to businesses, drainage, and maintenance of traffic during construction. The contents of the CAP may vary from project to project based on public interest and project complexity. Workshops are held to provide public input during the design phase. Input also is received through other methods such as on-site meetings, direct mailing, and citizens groups.

Potential customer needs that may arise (property access, mobility) at the Construction phase are addressed on an individual basis by project personnel. Open-House meetings are sometimes held prior to construction to solicit comments from individuals who may be affected by traffic delays, access problems, safety concerns, and duration of construction. Construction project managers routinely walk projects at the beginning of construction to hand out business cards to all businesses and residents along the job site so citizens will have a point of contact.

Other needs are determined through CTSTs, surveys (rest areas, Access Management), telephone calls, correspondence and person-to person contacts. The Access Management Review Process has been developed to guide the Agency's actions in access management and median decisions. This process consists of a committee in each district charged with reviewing customer concerns regarding access issues, such as: driveways, median crossovers, turn lanes, and signalization. Concerns may be addressed at a scheduled meeting, with customers provided a written response at its conclusion. This process applies to existing facilities as well as future projects.

Through these processes, FDOT strives to determine customer wants and needs while adhering

to state, local and federal standards.

b) How do these needs vary among differing customer groups?

The Agency is faced with meeting the often conflicting needs of varying customer groups. There are variations in customer needs in the following areas:

- Safety (Conflicting interests)
- Accessibility to transportation systems, FDOT offices, and communication
- Different types of facilities (bike, pedestrian, transit, auto, aviation, shipping, rural vs. urban, tolled vs. non-tolled)
- Level of signage needed for tourists vs. local residents and businesses.
- Community values (level of aesthetics, economic development, mode choices)
- Additional capacity vs. maintenance of existing facilities
- Geographic and demographic.

c) How is information from customers and other potential customers used to determine product and service features?

Information is used to modify Agency goals and objectives as identified in the FTP, the work program, transportation plans, specific project features and schedules. Identified examples of how this information is used included:

- Improve operations or features for rest areas, toll collection, and emergency road services.
- Incorporate suggestions into process development, rules, guidelines, standards, policies, and procedures. For Example, the Maintenance Rating Program was altered to reflect public views on litter standards and mowing cycles.
- Develop proposed legislation
- Modify project features, such as landscaping, bike and pedestrian features, access issues, number of lanes, etc.

3.2 CUSTOMER SATISFACTION AND RELATIONSHIP ENHANCEMENT

a) How does our organization make it easy for customers to seek assistance or complain?

The Agency has in place public involvement and public information processes, which are used as listening and learning strategies. Examples are:

Public Involvement

- FTP, Work Program, and project specific public workshops and hearings
- Informal meetings with the public, elected officials, and other governmental agencies
- On-site visits upon receiving complaints
- Accommodations for persons speaking different languages and those with disabilities during public involvement and information activities
- Comment cards (rest areas, toll plazas, and emergency road services).

Public Information

- A Public Information Office (PIO) exists in each District. Specific contact persons are identified for each project. Phone numbers and other contact information are made available to the public through door-to-door contact, mailings, and public meetings
- Information is provided to the public in the form of brochures explaining how a project is developed or placed in the work program
- Public notifications in media, flyers, and newsletters
- Public Information Web site
- Toll-free telephone numbers are established to receive customer concerns
- Decentralization resulted in delegation of responsibilities to the Districts and area offices enabling them to provide ease of access and more timely responses.
- The Agency establishes partnerships and relationships with civic groups and governmental agencies.

b) What customer contact standards are our employees expected to maintain?

There were no identified formal customer contact standards other than the Agency's general conduct standards. However, there is an expectation that employees act in a professional, courteous and timely manner. Following are some additional examples of the expectations identified:

- One transfer only rule for telephone calls
- Every inquiry or request requires a response
- Correspondence control assigns and sets due dates for mail received by the Secretary for response.
- Treat customers with courtesy.

c) How does our organization measure performance against those standards?

The organization does not have agency-wide

customer contact standard measures. Individual supervisors and managers are expected to recognize deficiencies against these standards and evaluate their employees against them. Customer relationship standards are included in RAPPS in some offices to establish expected results for employees.
Some other examples of measurement follow:

- Customer satisfaction surveys (Access Management and purchasing.)
- Tracking system for correspondence control

d) How are customer feedback and measures used to improve customer relationships?

There are no agency-wide measures in this area. However, customer feedback is obtained through districts and statewide citizen, agency & business groups (public hearings). This feedback is used by the Agency to improve products, services and to modify project features. As a result of feedback, new processes have been developed to provide for additional customer input, such as the Access Management Review Committee. The general perception is that customer relationships are improving as a result of these efforts.

e) What is our method for tracking and resolving customer complaints?

The Agency's methods for tracking and resolving customer complaints vary from office-to-office. A formal tracking system is used for all correspondence routed through the Secretary of Transportation's office. Other tracking systems are used at central, district and field offices to resolve customer complaints. Local maintenance offices have developed logs used for monitoring the disposition of complaints. Upon receiving improvement requests, Traffic Operations will schedule the necessary studies, then evaluate and determine if adjustments are warranted. The findings are forwarded to the source of the request, and candidate projects are scheduled for construction, if appropriate.

In addition, the Commitment Compliance tracking is a new process implemented by the Agency to uniformly track commitments made to the public through the life of a project.

f) How does our organization measure customer satisfaction?

Although there is no Agency-wide systematic method of measuring customer satisfaction, it is generally gauged by customer reaction to Agency products. This reaction takes the form of media attention, complaints, legislative feedback, and letters of commendation. In addition, the Florida Transportation Commission conducts surveys of customer satisfaction periodically.

Category 4 - Information & Analysis

4.1 SELECTION AND USE OF INFORMATION & DATA

a) How does our organization decide what is measured?

As a general rule the decision on what is to be measured is made by the Executive Committee with input from upper level managers.

The process for deciding what is to be measured is determined by a number of factors, including the need to satisfy a legal mandate (law, rule, regulation, etc.) and to respond to internal and external customer requirements. The way the Agency operates is based on procedures established within, as well as input from other state (including the Legislature and Governor) and federal agencies.

The Agency decides what is measured based on areas of concern and whether a given measure can provide a quantified assessment of adherence to the Mission Statement.

Additional direction comes from a variety of other groups, as well as the strategic plan and the 2020 Florida Transportation Plan-In-Brief, which summarizes the Agency's Mission Statement, Goals, and Objectives detailed in the 2020 FTP. Other determining factors are the need to measure material accomplishments and financial performance, determine appropriate resource allocation (how much and what type of data to be obtained and provided with the available manpower, time and funds) and satisfy the needs of employees and the public. The types of data required for FDOT's Agenda Package (monthly production report) and the Annual Report by the FTC also establish what needs to be measured.

b) What are the main types of data, financial and non-financial, used to monitor performance?

FDOT uses financial and non-financial information to monitor the core processes of Planning, Design, Construction and Maintenance, as well as progress toward achieving the Agency's goals of safe travel, system preservation and connecting and supporting Florida's communities, detailed in the 2020 FTP.

The main types of data used to monitor

performance include a comparison of planned (based on work program and FTP) versus actual results. These include:

- Public transportation (transit, aviation, rail, seaports)
- Consultant acquisition (#, type consultant and type projects)
- R/W production, litigation & parcels
- Contract letting (number and type of highway and type of project)
- Advanced production
- Contract maintenance
- Time and cost overruns in construction
- DBE/MBE goals (dollars, percentage, types of work and location)
- Federal-aid obligating authority and minimum allocation
- Safety improvements at Highway/Rail Crossings
- Value engineering (number of studies, $ saved and % recommendations implemented)
- Administrative costs
- Cash management (cash forecast versus cash received)
- Toll facility operational costs
- Bridge repair and replacement

Resurfacing (# lane miles)

- Capacity improvement (highway and public transportation)
- Roadway condition rating
- Fatal crash rate

Below are two examples of how this performance data are used:

Case 1: Every bridge is inspected at least twice a year and given a "structural rating" based on standardized criteria. This data is used to establish a priority listing for repair and replacement projects statewide These projects are then added into the work program based on available funds.

Case 2: Crash data is collected to identify roadways which may require structural, geometric or traffic control improvements. This analysis helps identify types of projects which will improve safety. For example, skid rating data are used to identify deficiencies related to vehicular stopping ability. Roadways with skid numbers below acceptable standards are included in the work program as resurfacing projects.

c) How do our employees have input into what is measured?

The Agency's employees have an opportunity to provide input into what is measured through an agency wide culture that encourages sharing of information and ideas, and through more formal mechanisms including task teams, employee suggestion programs and periodic procedure review.

d) How does our organization ensure the accessibility and reliability of the data?

FDOT complies with Florida's Sunshine Law and Public Record Law, which requires open meetings and that most documents be made available to anyone. Some documents may be accessed electronically and through a web site from outside the Agency. FDOT employees are able to access data through a computer wide area network (WAN) linking the Agency's mainframe in Tallahassee with every work unit throughout the State. The WAN provides current, accurate information about the status of projects, funds, work descriptions, personnel, and training.

Each district operates a local area network (LAN), which also provides selected employees links to the Internet. FDOT maintains a website, recipient of Florida's BEST Award, providing public access to current information about doing business with the Agency, including functional areas of design, contracts, public information and research. The level of employee access to these systems is based on job requirements. Public involvement programs, workshops and hearings also provide a means to access data.

Reliability of the data is ensured through a review by the Executive Committee on a monthly basis. Also, federal and state rules and procedures govern how the data are to be collected and documented which helps to control their accuracy. FDOT's quality assurance reviews check appropriate data are accurately collected and verified. The reliability of financial data is ensured through adherence to Generally Accepted Accounting Principles. While all users are able to access most information, only selected users may edit data.

4.2 SELECTION AND USE OF COMPARATIVE INFORMATION AND DATA

a) How does the organization determine what data are needed about competitors or similar providers?

Because FDOT does not have any competition in its core areas of business (planning, design, construction and maintenance), similar providers are addressed in this section.

Data needs are identified by task teams which:

1) address problem areas;

2) look for ways to improve certain processes or

3) initiate new programs or methods.

FDOT collects a great deal of data for the purpose of determining how well it is performing its mission. Data from other state departments of transportation are also collected informally through regional or national meetings, such as AASHTO, in an effort to compare performance and thereby improve service to the public.

The QAR program is another tool FDOT uses to compare similar providers (district to district). The results from a quality assurance review in one district are shared with the other districts through statewide meetings, electronic mail and changes in policies or procedures. This process helps the agency to identify "best practices" from within.

In addition, periodic meetings with various professional associations allow employees to learn how other providers, such as cities, counties and consultants, are doing business and to pursue improvements.

b) How are these data used as a catalyst for achieving performance breakthroughs?

These data are used to learn what to do and what to avoid in similar construction and development processes. They are used to determine and test criteria and parameters for establishing performance standards. Some of the data collected form the basis for FDOT methods and procedures or are used to develop new programs such as incentives on construction projects. The Process Performance Review (PPR) program evaluates the quality of completed projects. Results of each review are disseminated statewide via the computer network and to the sections within the districts which are directly impacted. This feedback system is intended to prevent problems from recurring and to encourage duplication of areas of excellence.

Data from QAR's are shared with the other districts and with central office management. The results may be a change in policy, based on discussions between the districts and central office or a less formal approach of a "recommended practice".

A similar approach is used to investigate and implement ideas from the associational group meetings and the PPR program.

In addition, the Agency's monthly ***Focus on Quality*** provides a forum for highlighting outstanding ideas and performance for all employees to read. This informational sharing helps to stimulate creative thinking as well as keeping all employees abreast of new developments.

4.3 ANALYSIS AND REVIEW OF ORGANIZATION PERFORMANCE

a) Describe how the financial and non-financial measures used by our organization are analyzed to set priorities for:

1) Customer performance:

Customer performance is indicated by how efficiently and safely the customer is able to use the transportation system (i.e. their quality of mobility). The Agency evaluates trends and projections of customer and agency performance measured against established parameters and standards.

2) Product & service performance:

Data collected during surveys and studies are analyzed to assess the actual performance of products and services against anticipated performance or standards which were identified in 4.1b. For example, pavement condition ratings identify product and service performance related to ride smoothness.

3) Competitor performance:

The performance of similar providers, such as various districts, is analyzed to learn and benefit from experiences. As a general rule, FDOT does not use performance measures data from other states.

4) Financial performance:

Commitment of funds, and management of cash flows and administrative costs are key performance indicators. These are compared to the current five year work program and to historical data. Exceptions are analyzed and explained, and corrections made when necessary. The Agency is expected to meet all federal requirements and to commit all available federal funds to qualifying projects.

b) How does our organization use these to assess progress?

These measures are used by the Executive Committee, the Florida Transportation Commission and the Legislature to evaluate actual results compared to anticipated goals. The production schedule is an example of how the number of completed transportation facilities compares with what was planned.

In addition, the FDOT uses this data to work with MPOs to establish priorities for future

projects based on an up to date review of actual progress compared to current and long term needs.

Category 5 - Human Resource Development and Management

5.1 WORK SYSTEMS

a) How does our organization design our work and job systems to promote individual initiative, flexibility, and communications across work units?

As a government agency, FDOT is limited to designing work and job systems within the framework mandated by Florida law. The Agency promotes self direction and career development for its employees within an established framework

The decentralized nature of the Agency encourages decision making and responsibility for those decisions at the lowest possible level within the organization. Examples include permitting Crew Supervisors in Maintenance and Location/Survey to make decisions regarding their work systems. The broad scope of the classification levels and occupational groups, brought about through the Agency's pilot classification and pay system, recognizes the unique aspects of each FDOT district and places decision-making for the design of operational unit organization and job descriptions at the District level.

Managers have the ability to develop work and job systems to meet the challenges of new technology and a changing, diverse work force. This ability provides numerous opportunities to promote individual initiative through flexible work schedules, job sharing, and telecommuting.

Employees and partners play an important role in the design of work processes through participation on cross-function teams. Use of the QAR process, partnering and other teams give FDOT partners, both external and internal, the opportunity for communication and feedback. These team concepts allow those executing the work systems to openly discuss their perspectives and offer ideas on how work processes can be improved within the agency.

Specific examples of partnering activities include:

1) Internal partnering between the Legal and Right of Way Offices; and between the Planning and Environmental Management Offices; and

2) External partnering between the construction office and the contracting industry; and between design and project management personnel and the consulting Industry.

A variety of communication strategies are employed by the agency to ensure the most current information is available to everyone who needs it. Employees have the ability to receive and transmit information electronically within the organization. Regular staff meetings are used to enhance communications between units as well.

b) How is compensation and recognition used to reinforce work systems, performance, and organization objectives?

FDOT currently is in the third year of its "Model Classification and Pay System," developed by the Agency. This system allows FDOT to hire employees based on their Knowledge, Skills and Abilities (KSA's) for a specific position. Reduction in the number of classifications and broadening the ranges of pay provides managers the flexibility to give increases in pay, while allowing the employee to remain in the same job. The system allows for numerous types of pay incentives for individuals, including pay for extra duties or responsibility. The Agency has the ability to recognize and reward employees who have exhibited extraordinary performance by completing special projects, increasing productivity or demonstrating career commitment through a Bonus Pay Program. Employees are encouraged to achieve goals beyond those required for their individual positions and may be rewarded monetarily for such efforts.

The Agency supports an extensive awards program allowing employees to receive, on an annual basis, recognition for distinguished service, productivity, leadership, teamwork, cost saving suggestions, long time service or retirement, and for being a role model.

The Meritorious Service Awards Program consists of three components: Innovative Suggestions, and Superior Accomplishment, which includes Service/Retirement Recognition. It is the objective of this program to encourage employees to strive for superior work results, higher levels of productivity and creativity. The Innovative Suggestion component allows employees to submit their ideas to improve operations and/or increase efficiency of state government. The Superior Accomplishment component is a means to encourage, develop and retain motivated employees by appropriately recognizing and rewarding individual or group performances and contributions that improve effectiveness, efficiency, economy,

morale and teamwork. There are more than 20 categories of awards offered within this component. Service Recognition recognizes employees for each increment of five (5) continuous years of satisfactory service to the Agency. Retirement Recognition provides individuals with a certificate, signed by the Secretary of Transportation, recognizing retirement from state government.

The Agency actively participates in external awards programs such as the Davis Productivity Awards for increased governmental productivity and efficiency. FDOT has seen a continuous increase in the number of awards received, with 15 received agency wide in 1990 and 72 received in 1996. In addition, FDOT received the "Agency Award" three years in a row.

5.2 EMPLOYEE EDUCATION, TRAINING AND DEVELOPMENT

a) How does our training address what is important to our organization?

FDOT's Human Resource Training and Development department develops an Annual Training Plan (ATP) designed to meet Agency and employee needs. The ATP is developed by identifying the training needs of management, suppliers, partners, and employees using the FTP and Individual Training Plans (ITP's), developed for all employees.

A primary goal of the FTP is to provide safe transportation for residents, visitors, and commerce by ensuring the state highway system meets safety standards. FDOT's Maintenance workforce is trained to inspect the state's roads and bridges to identify conditions failing to meet specific safety standards, and take corrective action. They also are trained in safe roadside mowing practices, work zone safety steps, flagging and maintenance of traffic. Another FTP goal is served by these training activities which help to protect the public's investment in transportation by training employees to keep the roads in an acceptable physical condition.

FDOT demonstrates its commitment to attaining a well-trained workforce by offering more than 880 statewide training classes available to employees, as well as consultants and contractors. In addition, FDOT contributes to improving employee performance and development by providing long term training programs in certain areas such as the Right of Way Agent and Professional Engineer training programs.

b) How is input from our employees used to design, develop, and deliver training?

Design, development and delivery of training are determined using the Agency's Annual Training and Development Plan. This plan is a compilation of the ITP's, developed by the employee and that employee's supervisor beginning with the Review and Performance Planning Process (RAPP) immediately upon employment with the Agency and readdressed on an annual basis.

Based on the plan, a schedule is developed for delivery of existing courses and new courses are identified for design and development. Emphasis is placed on three categories of training; 1) mandatory; 2) position essential; or 3) individual development. In addition to the ATP, the QAR process identifies training needs in specific functional areas which are noted in the QAR findings and are used to further determine the need to design, develop and deliver training.

Employees are involved in evaluating the design of training courses through a pilot delivery process. During this process the course may be redesigned to better meet the needs of the organization.

c) How does our organization evaluate the effectiveness of our training?

Course evaluations are the primary method of measuring the effectiveness of FDOT training courses. Pre and post tests are used in the state mandated courses such as Supervisory Academy, Maintenance, Safety and Construction courses. Follow-up sessions are used to evaluate the job effectiveness of Supervisor and Leadership Academy training.

5.3 EMPLOYEE WELL-BEING AND SATISFACTION

a) How does our organization maintain a safe and healthy work environment conducive to employee health and satisfaction?

The Agency took a strong step toward realizing its vision of maintaining the safest work environment possible by adopting its revised Loss Prevention Procedure in April 1996. Although the operational planning and implementation of the procedure are the sole mission of the central office Safety Office, the responsibility of implementing these revised policies rests with each District and their individual Program Plans. The effectiveness of these plans relies on FDOT's emphasis on employee

involvement and awareness through the District Safety Committees, a delineation of responsibility to on-the-job supervisors, and safety, education and training programs. Apart from the newly mandated Safety Orientation and Safety Indoctrination for all new employees, there are now 35 required job specific safety training courses. Through this direct involvement and feedback the safety guidelines established will continue to evolve as conditions change. This proactive approach has resulted in a significant decrease in accidents and losses reported in FDOT.

Programs are provided to help maintain employee health. Examples of employee health initiatives are the drug-free, smoke-free and violence-free workplace policies, air quality control and noise level surveys, ergonomic furniture, job specific personal protective equipment and building security systems.

Various indoor and outdoor work environments exist within FDOT. This results in a variety of employee groups and work units with responsibilities ranging from the planning process through construction and maintenance activities having different safety concerns. Management by fact reviews incident/vehicle crash and personal injury data as well as ongoing safety inspections to ensure continuous improvement. When a review of data reveals problem safety areas, corrective action and/or training is initiated.

b) What types of employee support services are provided?

FDOT offers its employees a number of supportive services. Included are numerous benefits packages, educational and career development opportunities, recognition and awards programs, employee assistance programs, sick leave pools, collective bargaining, and participation in the Employee Benefit Fund.

c) How does our organization determine employee satisfaction?

While there is no statewide organized method to determine employee satisfaction, offices within FDOT independently use various methods and tools for determining employee satisfaction.

In addition, the RAPP process provides all employees and supervisors with the opportunity to discuss performance and satisfaction issues.

Category 6 - Process Management

6.1 Management of Product and Service Process

a) What processes are in place to ensure customer requirements are built into our designs and into the development of new products, programs, or services?

Customer needs are identified and collected from various sources such as MPOs, MPOAC, regional planning councils, local governments, topic focus groups, and public hearings/meetings. Federal regulations require public involvement with local citizens, governments and planning organizations. Federal regulations also require design features to meet customer requirements, such as the Americans with Disabilities Act. State law requires public hearings and workshops for development of the Florida Transportation Plan and the 5 year work program as well as the evaluation and permitting of environmental impacts.

Direct involvement on capacity improvement projects is accomplished through public hearings and individual meetings with local citizens and governments. Proposed new alignments and capacity improvements are analyzed on the network level to ensure traffic demands are met on a local and system wide basis for 20 years into the future. Data collection and analysis is integral to determining customer needs. Traffic data are collected on a continual basis for the purpose of planning and designing roadway improvements.

Additional public input and resolution of customer concerns on individual projects is handled through FDOT's Community Awareness Plans. This is a relatively new process in which PD&E, Design and Construction units meet with individuals or groups of customers to provide timely resolution of issues on individual projects.

Specific customer requests are handled routinely by traffic operations and maintenance through individual on-site meetings and one-on-one contact.

b) How are new, significantly modified, and customized products and services designed and improved?

New, significantly modified and customized products and services are designed and improved through programs such as value engineering, constructability reviews, process performance reviews, partnering, and testing and approval of new products submitted by vendors. This agency also has a significant research effort , whereby research is conducted for FDOT by state universities and other transportation research organizations. This research

is then used as the basis for changes or improvements to the Agency's products and services.

New services also are developed by benchmarking the successes of other transportation agencies. For example, FDOT is implementing the SunPass Electronic Toll Collection System, allowing motorists to travel through toll plazas without stopping while the toll is electronically debited from a prepaid account.

In addition, the Agency routinely uses cross functional teams to develop new and better ways of doing business. Team successes are often published in the monthly ***Focus on Quality*** newsletter.

c) How are suppliers and support capabilities considered early on in the design of products and services?

Suppliers and support capabilities are considered early in product and service design through pre-qualification of consultant engineers and contractors, development of consultant contracts, industry input, and establishing consistent levels for construction lettings and consultant support during work program development.

The Agency also uses cross functional task teams with supplier representatives to obtain input for the design and implementation of new products, services and policies.

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d) What are our key production/delivery processes and their principal measures?

Processes	Measurements
Planning	Stable Work Program Public Transportation ($)
Design	Consultant Acquisition (# + $) R/W Expenditures ($) R/W Parcel Production (#) Contract Lettings (# + $) Advanced Production ($)
Construction	Lane Miles Added (#) Lane Miles Resurfaced (#) Contracts Executed ($ + #) Supplementals (% of original $) Cost & Time Overruns Time Extensions (% days added) Excessive Change (% of projects) Bridge Contracts Let (#) Bridges Meeting Standards (%) Lane Miles Meeting Stds. (%)
Maintenance	Maintenance Rating Program Safety - Crash Rates (# + %)

$ = Dollar Value # = Quantity
% = Percentage

e) How are key production/delivery processes managed and improved?

Key production/delivery processes are managed and improved through the monthly Executive Committee review of the Production Management agenda package. This monthly review allows for a discussion of the actual results versus proposed actions as well as any corrective actions necessary to accomplish the work program. In addition, QAR's are used to measure compliance and to identify potential improvements to critical requirements of processes in planning, design, construction, maintenance and most support processes.

The FTC also monitors FDOT performance at monthly meetings.

6.2 Management of Support Processes

a) What are our key support processes and their principal measures?

Support Processes	Measurements: COMMON TO MOST SUPPORT PROCESSES

Financial Services Procurement Information Systems Human Resources Public Information Legal	Compliance with Mandates Workload Measures Quality Assurance Reviews Customer Feedback

b) How does our organization determine what is important to the internal and external customers of our support processes?

Many of the requirements for FDOT support processes are determined by state and federal law and/or rules, and customer and partner feedback from focus groups, workshops, meetings and surveys.

The use of cross functional task teams has been particularly effective in helping units determine what is important to their partners.

c) How are the support processes designed to meet organizational needs?

FDOT supports and promotes cross functional teams to evaluate and reengineer processes to fulfill organization needs. An example is the Electronic Data Management System (EDMS) cross functional steering committee. EDMS is the automation of paper-based business processes and will provide the capability to capture documents at the point of entry into FDOT and allow them to be retrieved, routed, and redlined electronically. The committee is structured to ensure that the EDMS initiative has buy-in by the entire FDOT.

QAR's ensure processes comply with policies and procedures, which must be reviewed and updated biennially. The QAR process provides the districts with the opportunity to provide feedback as to how to improve the particular process under review.

FDOT also has evaluated some processes using process flow diagrams. Research on new technology such as purchasing cards, electronic data management, electronic data interchange, and consultant invoice transmittal has played an integral part in some reengineering efforts. In addition, Process Flow diagraming was used extensively in the Department's multi-year effort to re-engineer its business information systems. Process Flow Diagrams were used to depict in a graphical format the business functions and their effects on data and process life cycle. These diagrams allow non-technical users to see the logical flow of the data through the process life cycle and the affects of each business function on the state of the data.

6.3 Management of Supplier and Partnering Processes

a) How are suppliers' processes designed to meet organizational needs?

FDOT has rigorous pre-qualification processes which solicit information from applicants as to the firm's background, experience, expertise and financial capabilities so that an objective and fair determination can be made concerning an applicant's ability to perform FDOT work based on scope of services.

FDOT's key suppliers, consultants and contractors, are selected through consultant selection and competitive bid processes, respectively.

The agency has formed various ongoing task teams with its suppliers in order to continuously review organizational needs and to make improvements or changes as necessary.

b) What are the principal requirements of our key suppliers?

In completion of a project, FDOT's key suppliers are required to perform timely and cost-effective work meeting standards specified in contract documents.

c) How does our organization ensure these requirements are met?

The Agency's standards include numerous quality control requirements for each activity. FDOT manages and inspects the activities and products of the suppliers to insure stipulated contract requirements are met. QARs, Audits and Inspection-in-depth (IIDs) are performed routinely on various functions as well.

Also, FDOT reviews suppliers' performance through contractor and consultant performance evaluations, and constructability reviews. These processes are outlined in stages requiring detailed feedback. Managers review this process monthly to insure compliance with procedures.

d) What information is given to our suppliers regarding their performance?

Performance information is given to FDOT key suppliers by grading consultant and contractor performance, interim and final evaluation of consultants, process performance reviews, materials

testing and IID reviews. FDOT also uses partnering activities to provide constructive feedback to both its contractors and consultants.

FDOT soon will begin a new "QC2000" program which will better utilize a contractor's internal materials testing processes.

Category 7.0 Business Results

7.1 CUSTOMER SATISFACTION RESULTS

a) **What are the trends for our key measures for customer satisfaction?**

There is no formal tracking of data for customer satisfaction in these areas with the exception of Access Management and Transportation Disadvantaged. There is a general perception customer satisfaction is stable or improving. Customer satisfaction is indirectly measured through the delivery of the work program. The Access Management and Transportation Disadvantaged data has not been collected long enough to establish trends.

Key measures for customer satisfaction include number and type of complaints, construction duration, project cost versus estimated cost, satisfaction surveys, and the maintenance rating programs. The number of customer complaints appears to have remained constant recently but the types of complaints vary. Construction duration trends have been moving up in recent years. Project costs versus estimated cost are moving up. Scores in the maintenance rating program are improving.

Some organizational units relate customer satisfaction data to recognition and rewards and to annual evaluation of employees. For example, the Office of Toll Operations has developed a formal process to determine if employees earn productivity bonuses. Customer input (negative and positive feedback) is one of the criteria used to determine if Toll employees receive productivity bonuses. Also, all employees in the Purchasing Office are evaluated annually on the level of customer service which the employee provides. Customer feedback is used to establish the employees final evaluation for the customer service standard.

b) How do these measures compare to those of our competitors and similar providers?

There has not been a comparison of key measures against other similar providers since there is no FDOT data for key measures. There is a general perception the Agency is a leader in many areas because of program offerings, standards used, features offered, and higher levels of public involvement. This is based on reports of interviewees' conversations with other states, Federal Highway Administration, city and county officials, and national associations.

7.2 FINANCIAL AND MARKET RESULTS

a) What are the trends for our key measures for financial performance?

Key measures for financial performance are maximizing receipt of federal funds, production versus planned projects, estimated project cost versus bid cost, monitoring right-of-way acquisitions, and construction cost and duration. The trends for maximizing federal funds, production versus planned and construction duration are up. The variance for actual bid costs versus estimated bid costs has remained relatively stable for the past several years.

FDOT uses four measures of sound financial management: "Forecasting of Receipts and Disbursements," "Cash Balance as a Percent of Total Outstanding Obligations," "Commitment of Federal Funds," and "Administrative Costs as a Percent of the Total Program." These measures are reviewed monthly by the Executive Committee.

FDOT operates on a cash flow basis and lets contracts against expected future revenue while maintaining a legally required minimum cash balance. Decreased variances between forecast and actual cash receipts and disbursements over the past four years demonstrates better cash management.

All Federal funds appropriated to FDOT are committed annually, with the Agency's ability to commit funds keeping pace with or exceeding the increasing annual level of available Federal monies.

FDOT administrative costs were only 2.0 percent of total program cost for each of the past four years.

b) What are the trends for our key measures of marketplace performance?

Bond financing plays an important role in addressing Florida's total transportation financial needs. Florida's Turnpike bond rating was upgraded to A+/A1 by three major international rating agencies in the last three years.

c) How do these measures compare to those of our competitor and similar providers?

The Agency does not routinely collet date to compare itself with its competitors and/or similar providers. One area that it has been compared to is the Turnpike's financial condition rating.

While bond ratings on many other turnpikes in the nation have been downgraded in the last five years, Florida is one of the few turnpikes to receive an upgrade.

7.3 HUMAN RESOURCE RESULTS

a) What are the trends for our key measures for human resource performance?

Key measures for human resource performance are training, manpower costs, turnover, and equal employment opportunity compliance. The trend in all these areas seems to be up.

Over a five-year period, there is a downward trend in the number of reported accidents and in money paid in worker's compensation claims.

b) How do these measures compare to those of our competitor and similar providers?

As a general rule the Agency does not use comparison data with similar providers.

7.4 SUPPLIER AND PARTNER RESULTS

a) What are the trends for our key measures for supplier performance? - It is difficult to sort out "supplier" performance versus "FDOT" performance since most activities (products and services) rely on a joint effort between the Agency and its suppliers.

All of the data and measures listed in sections 4.1.a and 6.1.d are reported and analyzed in key Agency reports. It should be noted that each of these reports generally show a "target" versus "actual" performance. The trends are generally positive with the exception of time and cost overruns in construction, where the trend is up. This area is being reviewed in detail to determine the specific causes and the appropriate corrective actions. The Agency's data systems have been revised significantly in order to obtain the proper breakdown of information for further analysis and improvement.

The trends for the Agency's performance measures can be reviewed by the Sterling Examiners in detail by reviewing the following annual reports: 1) The Annual Performance Report (An Evaluation of the Agency Strategic Plan); 2) 1997 Program Objectives and Accomplishments and; 3) The Florida Transportation Commissions Performance and Production Review.

The first report provides an analysis of the Agency's progress towards the Strategic Plan whereas the second and third reports provide details related to the past years accomplishments - which is the short range look at the strategic plan performance.

b) How do these measures compare to those of our competitor and similar providers?

Comparisons with other state Departments of Transportation are difficult to make because of differing measuring techniques, methods and conditions.

7.5 ORGANIZATION SPECIFIC RESULTS

a) What are the trends for our key measures for:
1) product and service quality
2) public responsibility
3) support service processes
4) cycle time reduction
5) other unique measures pertinent to our organization?

1) Materials testing and pavement management programs provide key measures in this area. Maintenance Rating Program is a product and service quality measure. Ratings have achieved or exceeded standards over the past 4 years.

2) Significant decreases in the State's highway fatality rate occurred between 1987 and 1991. Investigating officers listed road-related conditions as a contributing factor for an average of only 4.3% of all reported crashes on the State Highway System between 1990 and 1996.

3) Training, employee assistance program, and mentoring program assistance have upward trends.

Interest paid on delinquent payment of invoices decreased from $283,500 in FY95 to $25,400 in FY97.

4) Project development time is trending downward while construction duration is up.

FDOT recently began using Alternative Contracting Techniques to speed completion of construction projects by offering financial incentives. Although data presently are being collected. The early indications are favorable.

5) Transportation needs into the 21st Century cannot be met by highways alone. While transit ridership as a whole increased from 149 million

passenger trips in 1990 to 166 million in 1996, the transit ridership rate increased at a slower rate than vehicle miles traveled.

State law requires that FDOT maintain a stable work program to ensure timely and systematic completion of projects. FDOT continues to begin projects it commits to build; for example, in Fiscal Year 96/97 FDOT achieved 97% of the work program by letting 401 of the 412 projects planned for the year.

Implemented Value Engineering Teams recommendations increased from $133.4 million in FY 95/96 to $166.2 million in FY 97. Value Engineering Change Proposals which were submitted increased from 31 to 34 in the same period.

(b) How do these measures compare to those of our competitors and similar providers?

Measures are not compared with those of other providers.

GLOSSARY

Advanced Production - Those construction projects that become production ready in advance of normal construction funding.

Alternative Contracting - contracting methods that include bonuses and incentives for a contractors to complete projects earlier.

Access Management - control and regulation of spacing and design of driveways, medians, median opening, traffic signals and intersections on arterial roads to improve safe and efficient traffic flow on the road system.

AASHTO - American Association of State Highway & Transportation Officials.

Agenda Package - a monthly report issued by the Assistant Secretary for District operations that outlines the Department's progress in the accomplishment of current year items and programs from the Department's Five Year Work Program in "by district" detail.

BISP - Business Information System Plan
The Business Information Systems Plan was developed in 1990 to set strategic direction for the development of information systems technology.
The primary goals of the BISP include integration of the Department's data and improved business processes.

CEI - Construction Engineering and Inspection. Work done when a project is under construction to assure contractor compliance with FDOT standards.

CTST - Community Traffic Safety Team.

Corridor Study - detailed analysis of the traffic capacity of a corridor (between intersections) and forecasting of future transportation needs.

Cost Overrun - unplanned overrun in a construction project budget.

DBE - Disadvantaged Business Enterprise.

EDMS - Electronic Document Management System
Software developed to manage the capture, storage, retrieval, security, version control, distribution and overall administration of electronic documents.

FDOT - Florida Department of Transportation.

FHWA - Federal Highway Administration. Federal agency which oversees federal highways and federal-aid transportation projects.

FIHS - Florida Intrastate Highway System. The statewide network of limited and controlled access roadways, created by state statute, that provide high-speed and high volume movement of people and goods.

FIU/FAU - Florida International University/Florida Atlantic University.

Focus on Quality - Monthly newsletter emphasizing quality process improvements, quality training, rewards and recognition, and is distributed to all DOT personnel.

FTC - Florida Transportation Commission. This Commission was created by statute in 1987 as an oversight agency for the Department's activities.

FTP - Florida Transportation Plan - sets the direction for Florida's 21st century transportation system. It is a blueprint of what the Department plans to build, the services we will provide and other improvements we will examine to determine the most effective way to meet future needs.

GAAP - Generally Accepted Accounting Principles.

GIS - An organized collection of computer hardware, software, geographic data and personnel designed to efficiently capture, store, update, manipulate, analyze and display all forms of geographically referenced information.

HRD - Human Resource Development.

ISTEA - Intermodal Surface Transportation Efficiency Act of 1991.

LAN - Local Area Network. - A data communications network used to link computers and peripheral devices (such as printers, CD-Roms, modems) under some form of standard control. This linking enables the sharing of resources and data.

Long Range Transportation Plan - a 20 year needs assessment for an MPO's planning area.

Management Systems - assessment systems for pavement, bridge, safety, congestion, Intermodal, as required by ISTEA.

MBE - Minority Business Enterprise.

MMS - Maintenance Management System.
A system used by maintenance managers to plan, budget, organize and control various maintenance activities. It assists managers in determining optimum utilization of resources by providing evaluation of productivity levels for all crews performing routine maintenance operations.

MRP - Maintenance Rating Program- A system used to evaluate the effectiveness of maintenance operations. It

assists managers in planning and evaluating the performance of routine maintenance operations.

Mode - the type of transportation used, such as single occupant vehicle, transit, bicycle, pedestrian, aviation or boat.

MPO - Metropolitan Planning Organization - these agencies are created by federal regulation and handle all the local transportation planning for urbanized areas over 50,000 population. Florida presently has 25 MPO ŝ. There are no standing advisory committees.

MPOAC - MPO Advisory Council

PD&E - Project Development and Environmental. This is the development and environmental assessment level for transportation projects.

Performance Improvement Plans (PIP) - work improvement plans for Department employees who do not meet minimum performance standards in the RAPPS (see Review & Performance Plans.)

Preliminary Engineering -That work which identifies design controls, selects appropriate standards, and performs the minimum level of engineering and analysis necessary to evaluate a comparison of costs and impacts of viable project alternatives that allows informed decisions in selecting alternatives.

PSM - Project Scheduling & Management - The planning, directing, and controlling of resources for a relatively short-term project which has specific goals and objectives.

QAR - Quality Assurance Review - review of policies and procedures in each district to assure compliance.

RAPP - Review and Performance Plans - Performance measures for each Department employee based on job duties and responsibilities.

RCI - Roadway Characteristics Inventory - A centralized database and data entry system for reporting highway characteristic data describing the physical, operation, and administrative aspects of Florida ŝ roadways. It is used, directly or through database links, throughout the Department..

Right of Way (R/W) - Land acquired by the Department of Transportation and used for the construction of transportation facilities.

SIA - Structural Inventory Appraisal (system).
A tabulation or summary of bridge data required by the FHWA to effectively monitor and manage the National Bridge Program.

SAMAS - State Automated Management Accounting System.

Supplemental Agreement - a change to a professional services agreement or a construction contact providing additional compensation for additional work.

T-News - Monthly publication written by the Department of Transportation to keep employees and former employees up to date on happenings within the Department and around the state.

Time Extension - an extension of time granted on an agreement.

TIP - Transportation Improvement Program. This document is the project work program for each MPO.

UPWP - Unified Planning Work Program. This document contains planning studies to be carried out annually by each MPO.

Value Engineering - a series of engineering studies conducted during project construction to determine where improvements could be made.

WAN - Wide Area Network. - A data network typically extending a LAN outside the building over he telephone carrier lines to link to other LANs in remote buildings and possible remote cities.

Work Program - the department ŝ five year list of transportation projects planned for each fiscal year as adjustment for the legislatively approved budget for the first year of the program